UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/091,584	03/07/2002	Rudolf Caspari	1454.1225	7693

21171 7590 05/04/2005	**EXAMINER**	
STAAS & HALSEY LLP	PIERRE, MYRIAM	
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WASHINGTON, DC 20005	2654	

DATE MAILED: 05/04/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

PTO-90C (Rev. 10/03)

	Application No.	Applicant(s)
Office Action Summary	10/091,584	CASPARI, RUDOLF
	Examiner	Art Unit	
	Myriam Pierre	2654	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE _3_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☐ Responsive to communication(s) filed on _____.

2a)☐ This action is **FINAL**.   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) _1-15_ is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) _1-15_ is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☒ All b)☐ Some * c)☐ None of:

      1.☒ Certified copies of the priority documents have been received.

      2.☒ Certified copies of the priority documents have been received in Application No. _10110977.6_.

      3.☒ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☒ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _(5/2 5/7 3/7)2002_.

4) ☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____.

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 102

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

1.   Claims 1-13 are rejected under 35 U.S.C. 102(e) as being anticipated by

Papineni et al (6,246,981).

As to claims 1 and 13, Papineni et al. teach

the background application **(backend (application-specific software), col. 7 lines 4-**

5) being modeled on principles P1 through P3:

P1) the background application **(backend)** can be interpreted as a finite set of

transactions **(tasks)** T1, T2..,Tn **(col. 9, line 60-61. Backend performs the tasks.);**

P2) each transaction **(task)** has a finite set of parameters **(slot or form level)** required

to execute the transaction **(task) (col. 9, lines 58-61. Backend performs the tasks**

described in the message, slot-level messages);

P3) each parameter **(slot or form level)** has an grammar **(attribute, col. 8 lines 46)**

that serves to acquire a value **(col. 8 line 47)** for the parameter **(slot)** in a speech

dialog **(Dialog manager, DM) (col. 9 lines 54-56, col. 12 lines 12-13, the DM uses a slot-level message, slots are filled directly from the input (attribute, value) pairs, thus necessarily acquiring a value that corresponds to the attribute.)**;

the speech dialog system **(DM)** can assume at least the following states **(return codes)**;

state a) no transaction has yet been selected, and the transactions T1, T2, . . . , Ti **(tasks)** are still possible **(return codes include an optional list of forms to be disabled and optional list of forms to be enabled, col. 9 lines 64-65, col. 13 lines 47-53, the disabled forms are necessarily unselected tasks, yet an optional list of forms are can be enabled, thus tasks are still possible)**; and

state b) a transaction **(task)** has been selected, but not all values relating to this transaction **(task)** have yet been input **(optional list of forms to be enabled, user can not switch tasks until the current task is completed or until explicitly canceling out of it, col. 9 lines 64-65, col. 10 lines 41-42)**;

a memory **(col. 7 line 46)** that necessarily stores a transaction prompt **(message)** for each transaction **(task) (DM stores messages, col. 10 line 43)**;

a memory **(col. 7 line 46)** that necessarily stores a help prompt **("Helpmsg")** for each parameter **(slot or form) (col. 13 lines 36-41, and col. 14 lines 29-35, form-**

level messages includes "helpMsg:", thus the help prompt is necessarily stored for each form).

a necessary detection unit to detect a global **(form-level)** help command **(Helpmsg)** to request help **(col. 13, lines 38-42; col. 14 lines 33-34; and col. 9 lines 48-52, form-level help commands allow for a "Helpmsg" command, thus implying that once the user requests help, the "Helpmsg" prompt is detected, "Helpmsg" is selected by DM when user requests help on a form.)**;

a necessary output unit **(output interface, col. 7, line 46)** outputting a prompt corresponding to the state **(return code)** and context **(account number)** after detection of the global help command **(col. 13 lines 35-41, the Helpmsg is prompted after the user has not entered the account number, state a, and has to either enter the account number or under the command "StuckRecord", the user will be transferred to an operator)**;

such that at least one transaction prompt is output in the state a). **(no transactions have been entered, such as name of fund, col. 14 lines 34-36)** and at least one help prompt is output in the state b) **(possible transactions are still available, such as buy and amount, col. 14 lines 34-36)**.

As to claim 2, Papineni et al. teach

the help prompt stored for each parameter specifies the form in which a value for the parameter is to be input **(col. 14 lines 33-35, col. 9 lines 2-9, "Helpmsg" is necessarily stored for the form-level tasks in which a value, such as "buy" or "specify an amount", for the slot is to be inputted)**.

As to claims 3 and 8, Papineni et al. teach

after detection of the global help command in state a) **(col. 14 lines 35-40)** and all possible transactions transactions are output to with a global help prompt **(col. 14 lines 33-35, also has all the options listed for that task, under the "helpmsg" prompt, thus the "helpmsg" is a global help message because the user can access the "helpmsg" prompt from either form-level or slot-level interactions).**

As to claims 4 and 9, Papineni et al. teach

a global help prompt is stored **(col. 14 lines 35-40, "Helpmsg" is necessarily stored because the backend retrieves it)**; and

after uttering the global help command **(user request help on a task, col. 9 lines 49-52)**, a user is provided with possible options for state a) by a combination of the global help prompt **("Helpmsg")** and the transaction prompt **(options for purchase, buy, and amount) (col. 14 lines 33-36).**

As to claims 5 and 10, Papineni et al. teach

an option prompt is stored and output with all values that are possible for a

respective parameter **(col. 14 lines 34-36, output value options are listed, thus**

options were necessarily stored in order for user to receive the options).

As to claims 6 and 11, Papineni et al. teach

a grammar is stored for each possible user input **(col. 8 lines 29-31, 57-60 and**

col. 10 lines 65-66, semantic representation necessarily implies grammar, the

attribute part of the pair, is necessarily stored in order for the system to match or

identify key words, the attribute and value is stored in a DM's memory).

As to claims 7 and 12, Papineni et al. teach

the available transactions are hierarchically ordered **(parse tree) (a list of (attribute,**

value) pairs are assembled and some of the attributes, such as labels, are from a

parse tree, col. 8 lines 46-49, the attributes, such as the labels are from a parse

tree which is necessarily hierarchical in order).

As to claim 14, Papineni et al. teach

receiving an oral command requesting help **(user request help, col. 9 line 50,**

speech dialog system necessarily implies oral communication) matching the oral

command with a stored global help command **(col. 13 line 36-37, and col. 14 lines 35-**

37, the system would necessarily respond by matching the oral command

(purchase) with the stored "Helpmsg" command (purchase requires the name of

the fund you want to buy));

outputting at least one transaction prompt if the user has not identified the

transaction **(prompt for missing information, col. 13, lines 29-32);**

outputting at least one parameter help prompt **(form level "helpmsg"**

prompt) if the user has identified the transaction, but has not entered a value for each

parameter associated with the transaction **(col. 14, lines 26-28 & 34-37, the DM**

requests user to enter name of fund which implies that the user has not entered a

value for each parameter associated with the transaction).

As to claim 15, Papineni et al. teach

there are numerous possible transactions **(stock, airline, weather reports, col.**

5 lines 65-66);

the possible transactions are separated into groups **(buy, sell, transfer, get**

price, col. 15, lines 6-7);

the user is prompted to select a group of transactions **(computer: "do you want**

price of vanguard index trust, extended market, extended market institutional

shares" col. 15, lines 14-16, user is prompted by computer to select transactions);

after the user selects a group of transactions **(next five funds)**, the user is

prompted to select a transactions within the group of transaction **("next five funds",**

the user is prompted to select vanguard index, growth, capitol, etc., col. 15, lines

18-23).

Conclusion

2.   The following art made of record and not relied upon is considered
pertinent to applicant's disclosure: Block et al. (6,073,102); Reynar et al. (6,415,258);
Kanevsky et al. (6,442,519); Hunt et al. (6,522,726); Chang et al. (6,567,776); Epstein
et al. (6,754,626); & Stammler et al. (6,839,670).

Block et al. teach grammar based dialog system.

Reynar et al. teach background audio recovery system, displays information and stores
audio data.

Kanevsky et al. teach speech recognition using networks clustering into classes of user
characteristics.

Hunt et al. teach SRMS, Speech Responsive Voice Messaging, with a hierarchy of
speech user interfaces for specifying commands.

Chang et al. teach speaker independent verification using clustering model.

Epstein et al. teach hierarchy of contextual models relating to text and spoken
utterances.

Stammler et al. teach signal speech processing using speech recognition and
grammatical post-editing and dialog.

3.   Any inquiry concerning this communication or earlier communications from

the examiner should be directed to Myriam Pierre whose telephone number is 703-605-1196. The examiner can normally be reached on Monday – Friday from 5:30 a.m. - 2:00p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Talivaldis Smits can be reached on 703-306-3011. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

4. Information as to the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

03/18/2005

RICHEMOND DORVIL
SUPERVISORY PATENT EXAMINER